



DECLARATION  
FOR PATENT APPLICATION

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As an undersigned inventor, I hereby declare that:

My residence, post office address and country of citizenship are as stated directly below my name.

I believe (check one) ☐ I am the original, first and sole inventor  
☒ I am a joint inventor and the below named inventors are the  
original and first inventors

of the subject matter which is claimed and for which a patent is sought on the invention entitled

**SYSTEMS AND METHODS FOR INTELLIGENT INFORMATION RETRIEVAL AND  
DELIVERY IN AN INFORMATION MANAGEMENT ENVIRONMENT**

the specification of which

(check one) ☐ is attached hereto.  
☒ was filed on November 2, 2001,  
as Application Serial No. 10/003,728,  
and was amended on \_\_\_\_\_.  
(if applicable)

I further declare that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office (hereinafter "the Office") all information known to me to be material to patentability of the subject matter which is claimed as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119 of any foreign application(s) for patent or inventor's certificate indicated below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)		Day/Month/Year Filed	Priority Claimed	
Number	Country		Yes	No
_____	_____	_____	_____	X

I hereby claim the benefit under 35 U.S. C. §119(e) of any United States provisional application listed below:

<b><u>Provisional Application Serial No.</u></b>	<b><u>Filing Date</u></b>
60/285,211	April 20, 2001
60/291,073	May 15, 2001
60/246,445	November 7, 2000
60/246,359	November 7, 2000
60/187,211	March 3, 2000
60/246,401	November 7, 2000

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose to the Office all information known to me to be material to patentability as defined in 37 C.F.R. § 1.56, which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<b><u>Application Serial No.</u></b>	<b><u>Filing Date</u></b>	<b><u>Status (patented, pending, abandoned)</u></b>
09/947,869	September 6, 2001	Pending
09/879,810	June 12, 2001	Pending
09/797,198	March 1, 2001	Pending
09/797,201	March 1, 2001	Pending
09/797,200	March 1, 2001	Pending

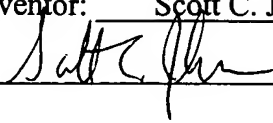
Address all correspondence and telephone calls to the following:

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1101 Capital of Texas Highway South  
Building C, Suite 200  
Austin, TX 78746  
(512) 347-1611  
(512) 347-1615 (Fax)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and may jeopardize the validity of the application or any patent issued thereon.

Full name of first joint inventor: Scott C. Johnson

Inventor's Signature



3-7-2002  
Date

Residence: 3612 Galena Hills Loop Round Rock, TX 78681

Citizenship: U.S.

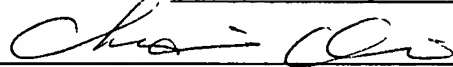
Post Office Address:

Same

(enter "same" if mailing address is same as residence address)

Full name of second joint inventor: Chaoxin C. Qiu

Inventor's Signature



3/7/2002  
Date

Residence: 10720 Bramblecrest Drive Austin, TX 78726

Citizenship: U.S.

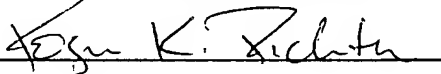
Post Office Address:

Same

(enter "same" if mailing address is same as residence address)

Full name of third joint inventor: Roger K. Richter

Inventor's Signature



3/7/02  
Date

Residence: 15248 Faubion Trail Leander, TX 78641

Citizenship: U.S.

Post Office Address:

Same

(enter "same" if mailing address is same as residence address)



#3

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c)) – SMALL BUSINESS CONCERN

DOCKET NO.  
SURG:161

Applicant or Patentee: Surgient Networks, Inc.

Application No.: 10/003,728

Title: SYSTEMS AND METHODS FOR INTELLIGENT INFORMATION  
RETRIEVAL AND DELIVERY IN AN INFORMATION MANAGEMENT  
ENVIRONMENT

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I hereby declare that I am:

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN:  
ADDRESS OF SMALL BUSINESS CONCERN:

SURGIENT NETWORKS, INC.  
8303 North Mopac  
Suite C-300  
Austin, TX 78759-8374

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the

invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.  
☐ each such person, concern or organization is listed below:

Separate verified statement is required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Scott C. Johnson

TITLE OF PERSON IF OTHER THAN OWNER: Chief Technical Officer

ADDRESS OF PERSON SIGNING: 8303 North Mopac  
Suite C-300  
Austin, TX 78759-8374

SIGNATURE: Scott C. Johnson DATE: 3-7-2002